

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

THE COMMISSIONER OF PATENTS AND TRADEMARKS

Alexandria, VA 22313-140

Serial No. 09/805,236  
Applicant: Deming  
Filed: March 13, 2001  
Title: Hypertext transfer protocol application programming interface between client-side trading systems and server-side stock trading systems  
Art Unit: 2145  
Attorney Docket No.: TRB-3

**INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This Information Disclosure Statement**

The following sections are being submitted for this information Disclosure Statement

1. ☒ Preliminary Statements
2. ☒ FORM PTO - 1449 (Modified)
3. ☐ Statement As To Information Material To Examination Not Found in Patents or Publications
4. ☐ Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted.
5. ☐ Cumulative patents or Publications
6. ☒ Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items.
8. ☐ Translation(s) of Non-English Language Documents
9. ☐ Certification under MPEP 609(e)
10. ☒ Identification of Person(s) Making This Information Disclosure Statement

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**CERTIFICATE OF MAILING**

☒ Certified Mail No: 7002 0860 0005 0313 7587

Date: September 30, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service, return receipt requested in an envelope addressed to: Mail Stop DD, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date.

  
Justin Wood

## **Section 1. Preliminary statements**

Applicant submits herewith patents, publications or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

## **Section 2. Form PTO - 1449 (Modified) (SEE ATTACHMENT)**

\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through citation if not in conformance or not considered. Include a copy of this form with the next communication to applicant.

## **Section 3. Statement As To Information Material For Examination Not Found in Patents or Publications (Information not listed in PTO 1449)**

## **Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted**

## **Section 5. Cumulative Patents or Publications**

☐ Item(s)

are cumulative of the following patents or publication listed on Form PTO 1449 (modified):

In accordance with 37 CFR 1.98(c) a copy of \_\_\_\_\_ is being submitted with this information disclosure statement.

## **Section 6. Copies of Listed Information Items Accompanying This Statement**

Legible copies of all items listed accompany this information statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.

☐ Cumulative patents or publications identified in Section 5.

## **Section 7. Concise Explanation of Non-English Language Listed Information Items**

## **Section 8. Translation(s) of Non-English Language Documents**

☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☐ The following foreign language documents submitted are believed to be the equivalent or

substantial equivalent of the English language documents identified below, which are also submitted herewith.

### Section 9. Certification under Rule 1.97

☐ The undersigned hereby certifies that:

a. This Statement is being filed after the latest of (1) three months after the filing date of a national application; (2) three months after the date of entry of the national stage as set forth in w 1.491 in an international application; (3) the mailing date of a first Office action on the merits.

b. The fee set forth in §1.17(p)

☐ Is being paid with this Information Disclosure Statement

☐ Is not due because:

☐ (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or

☐ (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the statement.

### Section 10. IDENTIFICATION OF PERSON(S) MAKING THIS INFORMATION DISCLOSURE STATEMENT

The person making this statement is

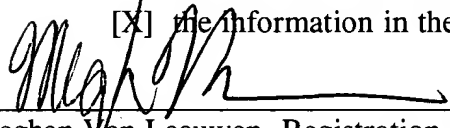
(a) ☐ the inventor(s) who signs below

(b) ☒ the attorney who signs below on the basis of:

☐ the information supplied by the inventor(s)

☐ an individual associated with the filing and prosecution of this application (37 CFR 1.56(c)).

☒ the information in the attorney's file

  
Meghan Van Leeuwen, Registration No. 45,612

BROWN & MICHAELS, PC

400 M&T Bank Building, 118 N. Tioga Street

Ithaca, New York 14850-4343

Voice: (607) 256-2000 Fax: (607) 256-3628

e-mail: bpm@bpmlegal.com

Customer number: 020808

  
Date:

## Section 2. Form PTO - 1449 (Modified) (ATTACHMENT)

FORM PTO-1449 U.S. DEPT. OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE	ATTY DOCKET NO. TRB-3	SERIAL NO. 09/805,236
	APPLICANT Deming	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	FILING DATE March 13, 2001	GROUP 2145

## U.S. PATENT DOCUMENTS

Exam Initial	DOCUMENT NUMBER	DATE	PATENTEE	CLASS	SUB	FILING DATE IF APPROPR
	6,763,386	07-2004	Davis et al.	709	224	
	6,763,226	07-2004	McZeal	455	90.2	
	6,708,207	03-2004	Sabelhaus et al.	709	223	
	6,671,352	12-2003	Lee	379	67.1	
	6,668,354	12-2003	Chen et al.	715	517	
	6,538,673	03-2003	Maslov	345	853	
	6,269,254	07-2001	Mathis	455	557	
	6,184,880	02-2001	Okada	345	704	
	6,151,625	11-2000	Swales et al.	709	203	
	6,138,150	10-2000	Nichols et al.	709	219	
	6,112,235	08-2000	Spofford	709	223	
	5,956,483	09-1999	Grate et al.	709	203	
	5,905,980	05-1999	Wagner	707	1	
	5,901,286	05-1999	Danknick et al.	709	203	
	5,784,565	07-1998	Lewine	709	229	
	5,754,772	05-1998	Leaf	709	203	

## FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

Exam Initial	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB	TRANSLATION YES   NO

## OTHER PRIOR ART

Exam Initial	Author, Title, Date, Pertinent Pages, Etc
	ProComm Plus User Manual, Datastorm Technologies, Inc. 1987 pg. 122
EXAMINER	DATE CONSIDERED